

# **ANNUAL SYNAR REPORT**

**42 U.S.C. 300x-26**

OMB № 0930-0222

**FFY 2016**

**State: Vermont**

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## INTRODUCTION

The Annual Synar Report (ASR) format provides the means for states to comply with the reporting provisions of the Public Health Service Act (42 U.S.C. 300x-26) and the Tobacco Regulation for the Substance Abuse Prevention and Treatment Block Grant (SABG) (45 C.F.R. 96.130 (e)).

### **How the Synar report helps the Center for Substance Abuse Prevention**

In accordance with the tobacco regulations, states are required to provide detailed information on progress made in enforcing youth tobacco access laws (FFY 2015 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2016 Intended Use Plan). These data are required by 42 U.S.C. 300x-26 and will be used by the Secretary to evaluate state compliance with the statute. Part of the mission of the Center for Substance Abuse Prevention (CSAP) is to assist states<sup>1</sup> by supporting Synar activities and providing technical assistance helpful in determining the type of enforcement measures and control strategies that are most effective. This information is helpful to CSAP in improving technical assistance resources and expertise on enforcement efforts and tobacco control program support activities, including state Synar program support services, through an enhanced technical assistance program involving conferences and workshops, development of training materials and guidance documents, and onsite technical assistance consultation.

### **How the Synar report can help states**

The information gathered for the Synar report can help states describe and analyze substate needs for program enhancements. These data can also be used to report to the state legislature and other state and local organizations on progress made to date in enforcing youth tobacco access laws when aggregated statistical data from state Synar reports can demonstrate to the Secretary the national progress in reducing youth tobacco access problems. This information will also provide Congress with a better understanding of state progress in implementing Synar, including state difficulties and successes in enforcing retailer compliance with youth tobacco access laws.

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<sup>1</sup>The term “state” is used to refer to all the states and territories required to comply with Synar as part of the Substance Abuse Prevention and Treatment Block Grant Program requirements (42 U.S.C. 300x-64 and 45 C.F.R. 96.121).

## **Getting assistance in completing the Synar report**

If you have questions about programmatic issues, you may call CSAP's Division of State Programs at (240) 276-2550 and ask for your respective State Project Officer, or contact your State Project Officer directly by telephone or email. If you have questions about fiscal or grants management issues, you may call the Grants Management Officer, Office of Financial Resources, Division of Grants Management, at (240) 276-1422.

## **Where and when to submit the Synar report**

The ASR must be received by SAMHSA no later than December 31, 2015 and must be submitted in the format specified by these instructions. Use of the approved format will avoid delays in the review and approval process. The chief executive officer (or an authorized designee) of the applicant organization must sign page one of the ASR certifying that the state has complied with all reporting requirements.

The state must upload one copy of the ASR using the online WebBGAS (Block Grant Application System). In addition, the following items must be uploaded to WebBGAS:

- FFY 2016 Synar Survey Results: States that use the Synar Survey Estimation System (SSES) must upload one copy of SSES Tables 1–5 (in Excel) to WebBGAS. States that do not use SSES must upload one copy of ASR Forms 1, 4, and 5, and Forms 2 and 3, if applicable, (in Excel) to WebBGAS.
- Synar Inspection Form: States must upload one blank copy of the inspection form used to record the result of each Synar inspection.
- Synar Inspection Protocol: States must upload a copy of the protocol used to train inspection teams on conducting and reporting the results of the Synar inspections.
- A scanned copy of the signed Funding Agreements/Certifications

Each state SSA Director has been emailed a login ID and password to log onto the Synar section of the WebBGAS site.

Additionally, the state must submit one signed original of the report (including the signed Funding Agreements/Certifications), as well as one additional copy of the signed Funding Agreements/Certifications, to the Grants Management Officer at the address below:

Grants Management Officer  
Division of Grants Management  
Office of Financial Resources  
Substance Abuse and Mental Health Services Administration

### **Regular Mail:**

1 Choke Cherry Road, Rm.7-1091  
Rockville, Maryland 20857

### **Overnight Mail:**

1 Choke Cherry Road, Rm.7-1091  
Rockville, Maryland 20850

## FFY 2016: FUNDING AGREEMENTS/CERTIFICATIONS

The following form must be signed by the Chief Executive Officer or an authorized designee and submitted with this application. Documentation authorizing a designee must be attached to the application.

<b>PUBLIC HEALTH SERVICES ACT AND SYNAR AMENDMENT</b>	
42 U.S.C. 300x-26 requires each state to submit an annual report of its progress in meeting the requirements of the Synar Amendment and its implementing regulation (45 C.F.R. 96.130) to the Secretary of the Department of Health and Human Services. By signing below, the chief executive officer (or an authorized designee) of the applicant organization certifies that the state has complied with these reporting requirements and the certifications as set forth below.	
<b>SYNAR SURVEY SAMPLING METHODOLOGY</b>	
The state certifies that the Synar survey sampling methodology on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2016 is up-to-date and approved by the Center for Substance Abuse Prevention.	
<b>SYNAR SURVEY INSPECTION PROTOCOL</b>	
The state certifies that the Synar Survey Inspection Protocol on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2016 is up-to-date and approved by the Center for Substance Abuse Prevention.	
<b>State:</b> Vermont	
<b>Name of Chief Executive Officer or Designee:</b> Dixie Henry	
<b>Signature of CEO or Designee:</b>	
<b>Title:</b> Deputy Secretary	<b>Date Signed:</b>
_____	
<b>If signed by a designee, a copy of the designation must be attached.</b>	

**SECTION I: FFY 2015 (Compliance Progress)**

**YOUTH ACCESS LAWS, ACTIVITIES, AND ENFORCEMENT**

42 U.S.C. 300x-26 requires the states to report information regarding the sale/distribution of tobacco products to individuals under age 18.

**1. Please indicate any changes or additions to the state tobacco statute(s) relating to youth access since the last reporting year. If any changes were made to the state law(s) since the last reporting year, please attach a photocopy of the law to the hard copy of the ASR and also upload a copy of the state law to WebBGAS. (see 42 U.S.C. 300x-26).**

**a. Has there been a change in the minimum sale age for tobacco products?**

Yes  No

*If Yes, current minimum age:*  19  20  21

**b. Have there been any changes in state law that impact the state's protocol for conducting Synar inspections?**

Yes  No

*If Yes, indicate change. (Check all that apply.)*

- Changed to require that law enforcement conduct inspections of tobacco outlets
- Changed to make it illegal for youth to possess, purchase or receive tobacco
- Changed to require ID to purchase tobacco
- Other change(s) *(Please describe.)* \_\_\_\_\_

**c. Have there been any changes in state law that impact the following?**

- Licensing of tobacco vendors  Yes  No
- Penalties for sales to minors  Yes  No
- Vending machines  Yes  No

**2. Describe how the Annual Synar Report (see 45 C.F.R. 96.130(e)) and the state Plan (see 42 U.S.C. 300x-51) were made public within the state prior to submission of the ASR. (Check all that apply.)**

- Placed on file for public review
- Posted on a state agency Web site *(Please provide exact Web address and the date when the FFY 2016 ASR was posted to this Web address.)*  
<http://healthvermont.gov/adap/adap.aspx>, posted on 12/2/15
- Notice published in a newspaper or newsletter
- Public hearing
- Announced in a news release, a press conference, or discussed in a media interview
- Distributed for review as part of the SABG application process
- Distributed through the public library system
- Published in an annual register

Other (Please describe.) \_\_\_\_\_

**3. Identify the following agency or agencies (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130).**

**a. The state agency (ies) designated by the Governor for oversight of the Synar requirements:**

Vermont Agency of Human Services, Department of Health

Has this changed since last year's Annual Synar Report?

Yes  No

**b. The state agency(ies) responsible for conducting random, unannounced Synar inspections:**

Vermont Department of Liquor Control

Has this changed since last year's Annual Synar Report?

Yes  No

**c. The state agency(ies) responsible for enforcing youth tobacco access law(s):**

Vermont Department of Liquor Control

Has this changed since last year's Annual Synar Report?

Yes  No

**4. Identify the following agencies and describe their relationship with the agency responsible for the oversight of the Synar requirements.**

**a. Identify the state agency responsible for tobacco prevention activities (the agency that receives the Centers for Disease Control and Prevention's National Tobacco Control Program funding).**

Vermont Agency of Human Services, Department of Health, Tobacco Control Program

**b. Has the responsible agency changed since last year's Annual Synar Report?**

Yes  No

**c. Describe the coordination and collaboration that occur between the agency responsible for tobacco prevention and the agency responsible for oversight of the Synar requirements. (Check all that apply.) The two agencies**

Are the same

Have a formal written memorandum of agreement

Have an informal partnership

Conduct joint planning activities

Combine resources

Have other collaborative arrangement(s) (Please describe.) \_\_\_\_\_

- d. **Identify the state agency responsible for enforcing the youth access and advertising restrictions in the Family Smoking Prevention and Tobacco Control Act (the agency that is under contract to the Food and Drug Administration's Center for Tobacco Products (FDA/CTP)).**

Vermont Department of Liquor Control

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- e. **Has the responsible agency changed since last year's Annual Synar Report?**  
 Yes  No

- f. **Describe the coordination and collaboration that occur between the agency contracted with the FDA to enforce federal youth tobacco access laws and the agency responsible for oversight of the Synar requirements. (Check all that apply.) The two agencies:**

- Are the same  
 Have a formal written memorandum of agreement  
 Have an informal partnership  
 Conduct joint planning activities  
 Combine resources

Have other collaborative arrangement(s) *(Please describe.)* The Vermont Department of Health and Department of Liquor Control are both subject to oversight by the Vermont Tobacco Evaluation and Review Board. As part of this relationship, representatives from both agencies participate in subcommittee meetings and share information related to enforcement.

- g. **Does the state use data from the FDA enforcement inspections for Synar survey reporting?**

Yes  No

5. **Please answer the following questions regarding the state's activities to enforce the state's youth access to tobacco law(s) in FFY 2015 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130(e)).**

- a. **Which one of the following describes the enforcement of state youth access to tobacco laws carried out in your state? (Check one category only.)**

- Enforcement is conducted exclusively by local law enforcement agencies.  
 Enforcement is conducted exclusively by state agency (ies).  
 Enforcement is conducted by both local *and* state agencies.

- b. The following items concern penalties imposed for all violations of state youth access to tobacco laws by LOCAL AND/OR STATE LAW ENFORCEMENT AGENCIES (this does not include enforcement of federal youth tobacco access laws). Please fill in the number requested. If state law does not allow for an item, please mark “NA” (not applicable). If a response for an item is unknown, please mark “UNK.” The chart must be filled in completely.

PENALTY	OWNERS	CLERKS	TOTAL
Number of <u>citations issued</u>	46	56	102
Number of <u>fin es assessed</u>	46	56	102
Number of <u>permits/licenses suspended</u>	20		20
Number of <u>permits/licenses revoked</u>	0		0
Other ( <i>Please describe.</i> )	0	0	0

- c. Which one of the following best describes the level of enforcement of state youth access to tobacco laws carried out in your state? (*Check one category only.*)

- Enforcement is conducted only at those outlets randomly selected for the Synar survey.
- Enforcement is conducted only at a subset of outlets not randomly selected for the Synar survey.
- Enforcement is conducted at a combination of outlets randomly selected for the Synar survey and outlets not randomly selected for the Synar survey.

- d. Did every tobacco outlet in the state receive at least one compliance check that included enforcement of the state youth tobacco access law(s) in the last year?

- Yes  No

- e. What additional activities are conducted in your state to support enforcement and compliance with state youth tobacco access law(s)? (*Check all that apply.*)

- Merchant education and/or training
- Incentives for merchants who are in compliance (e.g., nonenforcement compliance checks in which compliant retailers are given positive reinforcement and noncompliant retailers are warned about youth access laws)
- Community education regarding youth access laws
- Media use to publicize compliance inspection results
- Community mobilization to increase support for retailer compliance with youth access laws
- Other activities (*Please list.*) Please see below

*Briefly describe all checked activities:*

The Vermont Tobacco Evaluation and Review Board Tobacco Goals and Strategies 2012-2020 (available at <http://humanservices.vermont.gov/boards-committees/tobacco-board/tcp-goals-strategies-11-30-2012.pdf/view>) describes goals and strategies aimed at reducing youth access to and use of tobacco products.

In addition to these strategies, Vermont has several state laws to restrict youth access to tobacco products. Vermont state laws were updated in the 2013 or 2014 legislative session to include the following restrictions:

- An increased license fee of \$100 for a tobacco license, although a tobacco license remains \$0 if in conjunction with a liquor license.

-Prohibition of use of tobacco inside of and on school grounds, including tobacco substitutes.

-Prohibition of tobacco substitutes in all licensed child care facilities and a new proposed restriction on tobacco and tobacco substitutes in in-home child care facilities while children are in care.

-Vermont's smoke-free workplace law now includes the guest quarters of all hotels, motels, and other licensed lodging establishments.

In addition to these secondhand smoke law updates, Vermont raised its tobacco tax during the 2015 legislative session. The new tax rates, as of July 1, 2015 are:

\$3.08 per pack of 20 cigarettes or little cigars

\$0.154 per cigarette equivalent of roll-your-own or \$4.74 per ounce

\$2.57 per ounce of snuff

\$2.57 per ounce of new smokeless tobacco or \$3.08 per package if less than 1.2 ounces

92% of wholesale price of other tobacco, excluding cigars. Cigars are taxed at \$2.00 per cigar if priced between \$2.18 or \$9.99 or \$4.00 per cigar if priced at \$10.00 or higher.

Merchant education and/or training: The Education Division within the Department of Liquor Control continues to offer annual education seminars for approximately 4,000 retail clerks who sell tobacco products. The DLC sponsored in-house and online training classes for all types of law enforcement – local, county and state officials. DLC also offers web-based trainings for clerks. Objectives include: increasing awareness among local law enforcement of the underage tobacco law by conducting trainings for local, county and state law enforcement departments; and, increasing accessibility of seminars through the web-based format.

DLC monitors compliance rates based on the type of training clerks completed. Licensee employees who attend DLC seminars in person have a 92% success rate, employees who were trained in-house or attended an online seminar have an 88% success rate, and employees who were not trained have a 71% success rate.

Community education regarding youth access laws:

Community coalitions in 16 regions, as well as 31 youth coalitions have had funding during the duration of this reporting period. The three major strategies that Vermont tobacco coalitions implemented in FY15 include (1) Working with local decision makers to reduce point of sale advertising and address outlet location and density, (2) Working with local decision makers to create smoke-free parks, public

building entryways, housing, business/college/hospital campuses, and (3) Carrying out local activities that support the statewide media campaigns year-round. Many coalitions also work with their local retailers to assist in the coordination of in-person retailer trainings, providing food, childcare, transportation, and other incentives to encourage retailer staff to attend. For (3), coalition media activities have included Counter Balance, designed to raise awareness and engagement the impact on youth and low-income from the tobacco point of sale, including airing statewide ads (see more information below). More specific activities have included:

- Engaging youth in designing interventions to address tobacco use.

- Educating the community about regulatory approaches to addressing the time, place, and manner of tobacco sales.

- Promoting policies that create smoke-free zones outside of buildings and in public spaces, in housing, and as part of community events.

- Educating smokers and their families about free cessation services and supports available through 802Quits.

- Delivering the key messages of the statewide media campaigns through local activities.

- Engaging in CounterBalance, a point-of-sale mass media campaign ([www.counterbalancevt.com](http://www.counterbalancevt.com)). The Vermont Department of Health developed a thirty-second TV spot, social media shares and messages, press release templates, and other promotional activities to help community partners engage in the campaign. The focus is educating Vermont parents about the impact of tobacco advertising and product placement on youth. This campaign supports policy education and local activities around the time, place, and manner of tobacco sales. Campaign activities are occurring in two flights, the first of which was fall 2014. The second flight, which occurred in May-June, 2015, resulted in earned media coverage statewide.

- The Vermont Department of Health has contracted with Counter Tools, a nonprofit in North Carolina, to map Vermont's tobacco outlets and youth compliance rates and audit stores across the state to collect data on availability and promotion of tobacco products. The Vermont Store Mapper is live at [www.countertools.org/vtmapping](http://www.countertools.org/vtmapping) and is publicly available. It will also be used by community partners to educate decision makers about the impact of tobacco use statewide. The first round of Counter Tools audits was completed January 1, 2015. The Health Department and its partners used the Standardized Tobacco Assessment for Retail Settings form to audit 767 tobacco licenses, including vape shops. The data are available in the attached report or on the Health Department webpage ([http://healthvermont.gov/prevent/tobacco/documents/counter\\_tools\\_store\\_audit\\_report\\_2014.pdf](http://healthvermont.gov/prevent/tobacco/documents/counter_tools_store_audit_report_2014.pdf)). Vermont's audit initiative was highlighted in a national report from the Center for Public Health Systems Science, which can be accessed here: [http://cphss.wustl.edu/Products/ProductsDocuments/ASPiRE\\_2015\\_STARS\\_Report.pdf](http://cphss.wustl.edu/Products/ProductsDocuments/ASPiRE_2015_STARS_Report.pdf). The Health Department and our local partners will use the data for local and statewide awareness building, local policy planning and decision making including zoning.

Media use to publicize compliance rate results:

Many of the tobacco coalitions work with the Department of Liquor Control to recognize retailers that pass their compliance checks. The Department of Liquor Control also publicizes results on its website

<http://liquorcontrol.vermont.gov/enforcement/compliance/>.

Community mobilization to increase support for retailer compliance with youth access laws:

- Several coalitions in areas with poor compliance rates engage with retailers to provide additional education about youth compliance laws, their importance to community health, and the impact of tobacco advertising and use on youth.

Other:

- The Vermont Department of Health's multi-year POS initiative, Counter Balance, includes both mass media and statewide community and partner mobilization to collect data about the tobacco retail environment. This effort aims to inform and focus local and statewide planning and decision making around next steps to change the tobacco point of sale environment. The Vermont Department of Health, DLC, and Attorney General's Office all contributed to developing and finalizing the tobacco store audit form to include measures that are connected to "policy levers". Using the store audit results, these agencies will be better prepared to identify options that can have the biggest impact on youth use.

- VDH and DLC communicate at Vermont Tobacco Evaluation and Review Board Committee and/or Board meetings as well as quarterly check-ins, sharing data and exploring ways to optimize trainings and increase communication tools to better understand and implement youth prevention strategies at the retailer and community levels. These conversations are helpful and productive with the implementation of FDA compliance checks and discussions of how to create criteria for approving/disapproving tobacco licenses.

**f. Are citations or warnings issued to retailers or clerks who sell tobacco to minors for inspections that are part of the Synar survey?**

**Yes**    **No**

*If "Yes" to 5f, please describe the state's procedure for minimizing risk of bias to the survey results from retailers alerting each other to the presence of the survey teams:*

Inspections are conducted monthly based on random selection of outlets, in order to reduce/eliminate potential bias of survey results. Monthly random selection of outlets assures that merchant notification is extremely unlikely and inaccurate should it occur. Often merchants are aware that all outlets are inspected annually, at

least once, and that ongoing inspections are conducted monthly. However, there is no point in any outlet notifying other outlets as the outlets being notified will only be inspected if they have been randomly selected for that month. To our knowledge, no merchant notification is occurring. The Vermont Department of Liquor Control attempts to inspect all outlets at least once a year.

## SYNAR SURVEY METHODS AND RESULTS

The following questions pertain to the survey methodology and results of the Synar survey used by the state to meet the requirements of the Synar Regulation in FFY 2015 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130).

**6. Has the sampling methodology changed from the previous year?**

Yes  No

*The state is required to have an approved up-to-date description of the Synar sampling methodology on file with CSAP. Please submit a copy of your Synar Survey Sampling Methodology (Appendix B). If the sampling methodology changed from the previous reporting year, these changes must be reflected in the methodology submitted.*

**7. Please answer the following questions regarding the state’s annual random, unannounced inspections of tobacco outlets (see 45 C.F.R. 96.130(d)(2)).**

**a. Did the state use the optional Synar Survey Estimation System (SSES) to analyze the Synar survey data?**

Yes  No

*If Yes, attach SSES summary tables 1, 2, 3, and 4 to the hard copy of the ASR and upload a copy of SSES tables 1–5 (in Excel) to WebBGAS. Then go to Question 8. If No, continue to Question 7b.*

**b. Report the weighted and unweighted Retailer Violation Rate (RVR) estimates, the standard error, accuracy rate (number of eligible outlets divided by the total number of sampled outlets), and completion rate (number of eligible outlets inspected divided by the total number of eligible outlets).**

Unweighted RVR	<u>.136</u>
Weighted RVR	<u>.1363</u>
Standard error (s.e.) of the (weighted) RVR	<u>.0026</u>

Fill in the blanks to calculate the right limit of the right-sided 95% confidence interval.

.1363	+	(1.645	×	.0026)	=	.1406
<b>RVR Estimate</b>	<b>plus</b>	<b>(1.645</b>	<b>times</b>	<b>Standard Error )</b>	<b>equals</b>	<b>Right Limit</b>

Accuracy rate 72%

Completion rate 96%

c. **Fill out Form 1 in Appendix A (Forms 1–5).** *(Required regardless of the sample design.)*

d. **How were the (weighted) RVR estimate and its standard error obtained?**  
*(Check the one that applies.)*

Form 2 (Optional) in Appendix A (Forms 1–5) *(Attach completed Form 2.)*

Other *(Please specify. Provide formulas and calculations or attach and explain the program code and output with description of all variable names.)*

e. **If stratification was used, did any strata in the sample contain only one outlet or cluster this year?**

Yes  No  **No stratification**

*If Yes, explain how this situation was dealt with in variance estimation.*

f. **Was a cluster sample design used?**

Yes  **No**

*If Yes, fill out and attach Form 3 in Appendix A (Forms 1–5), and answer the following question.*

*If No, go to Question 7g.*

**Were any certainty primary sampling units selected this year?**

Yes  No

*If Yes, explain how the certainty clusters were dealt with in variance estimation.*

g. **Report the following outlet sample sizes for the Synar survey.**

	Sample Size
<b>Effective sample size</b> (sample size needed to meet the SAMHSA precision requirement assuming simple random sampling)	973
<b>Target sample size</b> (the product of the effective sample size and the design effect)	973
<b>Original sample size</b> (inflated sample size of the target sample to counter the sample attrition due to ineligibility and noncompletion)	973
<b>Eligible sample size</b> (number of outlets found to be eligible in the sample)	703
<b>Final sample size</b> (number of eligible outlets in the sample for which an inspection was completed)	675

h. **Fill out Form 4 in Appendix A (Forms 1–5).**

**8. Did the state's Synar survey use a list frame?**

Yes  No

*If Yes, answer the following questions about its coverage.*

**a. The calendar year of the latest frame coverage study: n/a**

**b. Percent coverage from the latest frame coverage study: n/a**

**c. Was a new study conducted in this reporting period?**

Yes  No

*If Yes, please complete Appendix D (List Sampling Frame Coverage Study) and submit it with the Annual Synar Report.*

**d. The calendar year of the next coverage study planned: n/a**

**9. Has the Synar survey inspection protocol changed from the previous year?**

Yes  No

*The state is required to have an approved up-to-date description of the Synar inspection protocol on file with CSAP. Please submit a copy of your Synar Survey Inspection Protocol (Appendix C). If the inspection protocol changed from the previous year, these changes must be reflected in the protocol submitted.*

**a. Provide the inspection period: From 10/01/14 to 09/30/15**  
MM/DD/YY MM/DD/YY

**b. Provide the number of youth inspectors used in the current inspection year:**

16

NOTE: If the state uses SSES, please ensure that the number reported in 9b matches that reported in SSES Table 4, or explain any difference.

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**b. Fill out and attach Form 5 in Appendix A (Forms 1–5). (Not required if the state used SSES to analyze the Synar survey data.)**

## SECTION II: FFY 2016 (Intended Use):

Public law 42 U.S.C. 300x-26 of the Public Health Service Act and 45 C.F.R. 96.130 (e) (4, 5) require that the states provide information on future plans to ensure compliance with the Synar requirements to reduce youth tobacco access.

### 1. In the upcoming year, does the state anticipate any changes in:

Synar sampling methodology  Yes  No

Synar inspection protocol  Yes  No

*If changes are made in either the Synar sampling methodology or the Synar inspection protocol, the state is required to obtain approval from CSAP prior to implementation of the change and file an updated Synar Survey Sampling Methodology (Appendix B) or an updated Synar Survey Inspection Protocol (Appendix C), as appropriate.*

### 2. Please describe the state's plans to maintain and/or reduce the target rate for Synar inspections to be completed in FFY 2016. Include a brief description of plans for law enforcement efforts to enforce youth tobacco access laws, activities that support law enforcement efforts to enforce youth tobacco access laws, and any anticipated changes in youth tobacco access legislation or regulation in the state.

Continued enforcement efforts and training for tobacco outlet personnel will enable Vermont to reach the "target" rates set by Vermont and CSAP. In FFY 2016, the Vermont Department of Liquor Control (DLC) will continue to conduct inspections across the state. The DLC will conduct a census of all tobacco outlets statewide. The DLC continues to maintain a list of all tobacco licensees and attempts to inspect each one at least once during the year. The DLC will attempt inspections again on those outlets that are eligible but not successfully inspected. The inspection plan calls for using only 17 year old youth inspectors, which offers a stiffer test of compliance for outlets (see Act 58 of the 1997-1998 Vermont Legislative Session "An Act to Restrict Minors' Access to Tobacco Products").

### 3. Describe any challenges the state faces in complying with the Synar regulation. (Check all that apply.)

- Limited resources for law enforcement of youth access laws
- Limited resources for activities to support enforcement and compliance with youth tobacco access laws
- Limitations in the state youth tobacco access laws
- Limited public support for enforcement of youth tobacco access laws
- Limitations on completeness/accuracy of list of tobacco outlets
- Limited expertise in survey methodology
- Laws/regulations limiting the use of minors in tobacco inspections
- Difficulties recruiting youth inspectors
- Issues regarding the age balance of youth inspectors
- Issues regarding the gender balance of youth inspectors
- Geographic, demographic, and logistical considerations in conducting inspections
- Cultural factors (e.g., language barriers, young people purchasing for their elders)
- Issues regarding sources of tobacco under tribal jurisdiction
- Other challenges (*Please list.*) Tobacco substitute (e-cigarettes) enforcement checks

*Briefly describe all checked challenges and propose a plan for each, or indicate the state's need for technical assistance related to each relevant challenge.*

Vermont is principally rural, thus, many outlets are in small towns, far removed from the few urban areas. This makes many of the inspections time consuming and expensive; both of which create challenges for inspection and enforcement of the tobacco law. There are two additional challenges which have slowed our efforts to reduce youth access to tobacco: 1. The Vermont Department of Health, Division of Alcohol and Drug Abuse Programs (ADAP) is not the agency responsible for designing or conducting the compliance checks, or for managing the data on tobacco outlets in the state, yet is responsible for reporting on these aspects. 2. The second challenge is the lack of resources or expertise. Both ADAP and the Vermont Department of Liquor Control have very limited data management, statistical and research resources. However we do expect that CSAP's 20% target for non-compliance will be achieved again in FFY 2016 and beyond.

In 2012, Vermont's youth access laws were amended to ban the sale of tobacco substitutes, which include e-cigarettes, to minors. However, DLC has reported barriers to enforcing the tobacco substitute law and it is not being included in youth access compliance checks as of September 2015. DLC lacks adequate staff capacity to add state-only checks for tobacco substitutes. DLC has raised the possibility of conducting pilot e-cigarette checks, but has not yet implemented a pilot. The Vermont Tobacco Control Program is requesting assistance from the Synar program to overcome this barrier.

The period from 10/14 to 9/30/15 was the first full year of implementation of Vermont's FDA contract requiring a percentage of of inspections for underage sales, and a percentage of inspections for advertising and labeling. The State is committed to a strong compliance system and is experiencing a challenge in integrating FDA and Synar requirements, and needs for enforcing prohibitions on e-cigarette sales to minors.

We are interested in technical assistance on: a) how small rural states are integrating FDA and Synar requirements; b) how small rural states are enforcing their tobacco substitute restrictions; and c) given the number of states with similar bans on e-cigarette sales to youth, whether youth access compliance checks where youth attempt to purchase e-cigarettes could satisfy the Synar report requirement (after a period of retailer education).

## APPENDIX A: FORMS 1–5

### FORM 1 (Required for all states not using the Synar Survey Estimation System (SSES) to analyze the Synar Survey data)

Complete Form 1 to report sampling frame and sample information and to calculate the unweighted retailer violation rate (RVR) using results from the current year’s Synar survey inspections.

**Instructions for Completing Form 1:** In the top right-hand corner of the form, provide the state name and reporting federal fiscal year (FFY 2016). Provide the remaining information by stratum if stratification was used. Make copies of the form if additional rows are needed to list all the strata.

Column 1: *If stratification was used:*

1(a) Sequentially number each row.

1(b) Write in the name of each stratum. All strata in the state must be listed.

*If no stratification was used:*

1(a) Leave blank.

1(b) Write “state” in the first row (indicates that the whole state is a single stratum).

*Note for unstratified samples: For Columns 2–5, wherever the instruction refers to “each stratum,” report the specified information for the state as a whole.*

Column 2: 2(a) Report the number of over-the-counter (OTC) outlets in the sampling frame in each stratum.  
2(b) Report the number of vending machine (VM) outlets in the sampling frame in each stratum.  
2(c) Report the combined total of OTC and VM outlets in the sampling frame in each stratum.

Column 3: 3(a) Report the estimated number of eligible OTC outlets in the OTC outlet population in each stratum.  
3(b) Report the estimated number of eligible VM outlets in the VM outlet population in each stratum.  
3(c) Report the combined total estimated number of eligible OTC and VM outlets in the total outlet population in each stratum.

*The estimates for Column 3 can be obtained from the Synar survey sample as the weighted sum of eligible outlets by outlet type.*

Column 4: 4(a) Report the number of eligible OTC outlets for which an inspection was completed, for each stratum.  
4(b) Report the numbers of eligible VM outlets for which an inspection was completed, for each stratum.  
4(c) Report the combined total of eligible OTC and VM outlets for which an inspection was completed, for each stratum.

Column 5: 5(a) Report the number of OTC outlets found in violation of the law as a result of completed inspections, for each stratum.  
5(b) Report the number of VM outlets found in violation of the law as a result of completed inspections, for each stratum.  
5(c) Report the combined total of OTC and VM outlets found in violation of the law as a result of completed inspections, for each stratum.

Totals: For each subcolumn (a–c) in Columns 2–5, provide totals for the state as a whole in the last row of the table. These numbers will be the sum of the numbers in each row for the respective column.



## **FORM 2 (Optional)**

### **Appropriate for stratified simple or systematic random sampling designs.**

Complete Form 2 to calculate the weighted RVR. This table (in Excel form) is designed to calculate the weighted RVR for stratified simple or systematic random sampling designs, accounting for ineligible outlets and noncomplete inspections encountered during the annual Synar survey.

**Instructions for Completing Form 2:** In the top right-hand corner of the form, provide the state name and reporting federal fiscal year (FFY 2016).

- Column 1: Write in the name of each stratum into which the sample was divided. These should match the strata reported in Column 1(b) of Form 1.
- Column 2: Report the number of outlets in the sampling frame in each stratum. These numbers should match the numbers reported for the respective strata in Column 2(c) of Form 1.
- Column 3: Report the original sample size (the number of outlets originally selected, *including* substitutes or replacements) for each stratum.
- Column 4: Report the number of sample outlets in each stratum that were found to be eligible during the inspections. Note that this number must be less than or equal to the number reported in Column 3 for the respective strata.
- Column 5: Report the number of eligible outlets in each stratum for which an inspection was completed. Note that this number must be less than or equal to the number reported in Column 4. These numbers should match the numbers reported in Column 4(c) of Form 1 for the respective strata.
- Column 6: Report the number of eligible outlets inspected in each stratum that were found in violation. These numbers should match the numbers reported in Column 5(c) of Form 1 for the stratum.
- Column 7: Form 2 (in Excel form) will automatically calculate the stratum RVR for each stratum in this column. This is calculated by dividing the number of inspected eligible outlets found in violation (Column 6) by the number of inspected eligible outlets (Column 5). The state unweighted RVR will be shown in the Total row of Column 7.
- Column 8: Form 2 (in Excel form) will automatically calculate the estimated number of eligible outlets in the population for each stratum. This calculation is made by multiplying the number of outlets in the sampling frame (Column 2) times the number of eligible outlets (Column 4) divided by the original sample size (Column 3). Note that these numbers will be less than or equal to the numbers in Column 2.
- Column 9: Form 2 (in Excel form) will automatically calculate the relative stratum weight by dividing the estimated number of eligible outlets in the population for each stratum in Column 8 by the Total of the values in Column 8.
- Column 10: Form 2 (in Excel form) will automatically calculate each stratum's contribution to the state weighted RVR by multiplying the stratum RVR (Column 7) by the relative stratum weight (Column 9). The weighted RVR for the state will be shown in the Total row of Column 10.
- Column 11: Form 2 (in Excel form) automatically calculates the standard error of each stratum's RVR (Column 7). The standard error for the state weighted RVR will be shown in the Total row of Column 11.
- TOTAL:** For Columns 2–6, Form 2 (in Excel form) provides totals for the state as a whole in the last row of the table. For Columns 7–11, it calculates the respective statistic for the state as a whole.

**FORM 2 (Optional) Appropriate for stratified simple or systematic random sampling designs.**

Calculation of Weighted Retailer Violation Rate										
										State: <u>Vermont</u>
										FFY: <u>2016</u>
(1) Stratum Name	(2) N Number of Outlets in Sampling Frame	(3) n Original Sample Size	(4) n1 Number of Sample Outlets Found Eligible	(5) n2 Number of Outlets Inspected	(6) x Number of Outlets Found in Violation	(7) p=x/n2 Stratum Retailer Violation Rate	(8) N'=N(n1/n) Estimated Number of Eligible Outlets in Population	(9) w=N'/Total Column 8 Relative Stratum Weight	(10) pw Stratum Contribution to State Weighted RVR	(11) s.e. Standard Error of Stratum RVR
State	973	973	703	675	92	.136	703	1.0	.1363	.0026
<b>Total</b>	<b>973</b>	<b>973</b>	<b>703</b>	<b>675</b>	<b>92</b>	<b>.136</b>	<b>703</b>	<b>1.0</b>	<b>.1363</b>	<b>.0026</b>

- N - number of outlets in sampling frame
- n - original sample size (number of outlets in the original sample)
- n1 - number of sample outlets that were found to be eligible
- n2 - number of eligible outlets that were inspected
- x - number of inspected outlets that were found in violation
- p - stratum retailer violation rate (p=x/n2)
- N' - estimated number of eligible outlets in population (N'=N\*n1/n)
- w - relative stratum weight (w=N'/Total Column 8)
- pw - stratum contribution to the weighted RVR
- s.e. - standard error of the stratum RVR

**FORM 3 (Required when a cluster design is used for all states not using the Synar Survey Estimation System [SSES] to analyze the Synar survey data.)**

Complete Form 3 to report information about primary sampling units when a cluster design was used for the Synar survey.

**Instructions for Completing Form 3:** In the top right-hand corner of the form, provide the state name and reporting federal fiscal year (FFY 2016).

Provide information by stratum if stratification was used. Make copies of the form if additional rows are needed to list all the strata.

Column 1:       Sequentially number each row.

Column 2:       *If stratification was used:* Write in the name of stratum. All strata in the state must be listed.

*If no stratification was used:* Write “state” in the first row to indicate that the whole state constitutes a single stratum.

Column 3:       Report the number of primary sampling units (PSUs) (i.e., first-stage clusters) created for each stratum.

Column 4:       Report the number of PSUs selected in the original sample for each stratum.

Column 5:       Report the number of PSUs in the final sample for each stratum.

TOTALS:         For Columns 3–5, provide totals for the state as a whole in the last row of the table.

<b>Summary of Clusters Created and Sampled</b>				
<b>State: Vermont</b>				
<b>FFY: 2016</b>				
(1) Row #	(2) Stratum Name	(3) Number of PSUs Created	(4) Number of PSUs Selected	(5) Number of PSUs in the Final Sample
n/a	n/a	n/a	n/a	n/a
<b>Total</b>				

**FORM 4 (Required for all states not using the Synar Survey Estimation System [SSES] to analyze the Synar Survey data)**

Complete Form 4 to provide detailed tallies of ineligible sample outlets by reasons for ineligibility and detailed tallies of eligible sample outlets with noncomplete inspections by reasons for noncompletion.

**Instructions for Completing Form 4:** In the top right-hand corner of the form, provide the state name and reporting federal fiscal year (FFY 2016).

Column 1(a): Enter the number of sample outlets found ineligible for inspection by reason for ineligibility. Provide the total number of ineligible outlets in the row marked "Total."

Column 2(a): Enter the number of eligible sample outlets with noncomplete inspections by reason for noncompletion. Provide the total number of eligible outlets with noncomplete inspections in the row marked "Total."

<b>Inspection Tallies by Reason of Ineligibility or Noncompletion</b>			
		<b>State:</b> _____	
		<b>FFY:</b> 2016	
<b>(1) INELIGIBLE</b>		<b>(2) ELIGIBLE</b>	
<b>Reason for Ineligibility</b>	<b>(a) Counts</b>	<b>Reason for Noncompletion</b>	<b>(a) Counts</b>
Out of business	4	In operation but closed at time of visit	16
Does not sell tobacco products	11	Unsafe to access	1
Inaccessible by youth	1	Presence of police	0
Private club or private residence	2	Youth inspector knows salesperson	2
Temporary closure	1	Moved to new location	0
Unlocatable	0	Drive-thru only/youth inspector has no driver's license	0
Wholesale only/Carton sale only	0	Tobacco out of stock	9
Vending machine broken	0	Ran out of time	0
Duplicate	0	Other noncompletion reason(s) ( <i>Describe.</i> )	0
Other ineligibility reason(s) ( <i>Describe.</i> ) no inspection attempted, not included in compliance dataset	251		
<b>Total</b>	270	<b>Total</b>	28

**FORM 5 (Required for all states not using the Synar Survey Estimation System [SSES] to analyze the Synar survey data)**

Complete Form 5 to show the distribution of outlet inspection results by age and gender of the youth inspectors.

**Instructions for Completing Form 5:** In the top right-hand corner of the form, provide the state name and reporting federal fiscal year (FFY 2016).

Column 1: Enter the number of attempted buys by youth inspector age and gender.

Column 2: Enter the number of successful buys by youth inspector age and gender.

If the inspectors are age eligible but the gender of the inspector is unknown, include those inspections in the “Other” row. Calculate subtotals for males and females in rows marked “Male Subtotal” and “Female Subtotal.” Sum subtotals for Male, Female, and Other and record in the bottom row marked “Total.” Verify that the total of attempted buys and successful buys equals the total for Column 4(c) and Column 5(c), respectively, on Form 1. If the totals do not match, please explain any discrepancies.

<b>Synar Survey Inspector Characteristics</b>		
		<b>State:</b> Vermont
		<b>FFY:</b> 2016
	(1) Attempted Buys	(2) Successful Buys
<b>Male</b>		
15 years	0	0
16 years	0	0
17 years	335	59
18 years		
<b>Male Subtotal</b>	<b>335</b>	<b>59</b>
<b>Female</b>		
15 years	0	0
16 years	0	0
17 years	340	33
18 years		
<b>Female Subtotal</b>	<b>340</b>	<b>33</b>
<b>Other</b>	<b>0</b>	<b>0</b>
<b>Total</b>	<b>675</b>	<b>92</b>

## **APPENDIXES B & C: FORMS**

### Instructions

Appendix B (Sampling Design) and Appendix C (Inspection Protocol) are to reflect the state's CSAP-approved sampling design and inspection protocol. These appendixes, therefore, should generally describe the design and protocol and, with the exception of Question #10 of Appendix B, are not to be modified with year-specific information. Please note that any changes to either appendix must receive CSAP's advance, written approval. To facilitate the state's completion of this section, simply cut and paste the previously approved sampling design (Appendix B) and inspection protocol (Appendix C).

## APPENDIX B: SYNAR SURVEY SAMPLING METHODOLOGY

State: Vermont  
 FFY: 2016

**1. What type of sampling frame is used?**

- List frame (*Go to Question 2.*)
- Area frame (*Go to Question 3.*)
- List-assisted area frame (*Go to Question 2.*)

**2. List all sources of the list frame. Indicate the type of source from the list below. Provide a brief description of the frame source. Explain how the lists are updated (method), including how new outlets are identified and added to the frame. In addition, explain how often the lists are updated (cycle). (*After completing this question, go to Question 4.*)**

*Use the corresponding number to indicate Type of Source in the table below.*

- 1 – Statewide commercial business list                      4 – Statewide retail license/permit list
- 2 – Local commercial business list                            5 – Statewide liquor license/permit list
- 3 – Statewide tobacco license/permit list                    6 – Other

Name of Frame Source	Type of Source	Description	Updating Method and Cycle
Vermont Department of Liquor Control License List	3	Statewide database of all tobacco license holders	The Department of Liquor Control is solely responsible for issuing tobacco licenses. The DLC updates their database on a monthly/yearly basis. The inspectors update the database monthly by notifying the DLC of any closed vendors of tobacco or alcohol products.

**3. If an area frame is used, describe how area sampling units are defined and formed.**

n/a

**a. Is any area left out in the formation of the area frame?**

- Yes     No

*If Yes, what percentage of the state's population is not covered by the area frame?*

\_\_\_\_\_ %

**4. Federal regulation requires that vending machines be inspected as part of the Synar survey. Are vending machines included in the Synar survey?**

- Yes     No

If **No**, please indicate the reason(s) they are not included in the Synar survey. Please check all that apply.

- State law bans vending machines.
- State law bans vending machines from locations accessible to youth.
- State has a contract with the FDA and is actively enforcing the vending machine requirements of the Family Smoking Prevention and Tobacco Control Act.
- Other (Please describe.) \_\_\_\_\_

**5. Which category below best describes the sample design? (Check only one.)**

- Census** (STOP HERE: Appendix B is complete.)

**Unstratified statewide sample:**

- Simple random sample (Go to Question 9.)
- Systematic random sample (Go to Question 6.)
- Single-stage cluster sample (Go to Question 8.)
- Multistage cluster sample (Go to Question 8.)

**Stratified sample:**

- Simple random sample (Go to Question 7.)
- Systematic random sample (Go to Question 6.)
- Single-stage cluster sample (Go to Question 7.)
- Multistage cluster sample (Go to Question 7.)
- Other** (Please describe and go to Question 9.) \_\_\_\_\_

**6. Describe the systematic sampling methods.** (After completing Question 6, go to Question 7 if stratification is used. Otherwise go to Question 9.)

**7. Provide the following information about stratification.**

**a. Provide a full description of the strata that are created.**

**b. Is clustering used within the stratified sample?**

- Yes** (Go to Question 8.)
- No** (Go to Question 9.)

**8. Provide the following information about clustering.**

**a. Provide a full description of how clusters are formed.** (If multistage clusters are used, give definitions of clusters at each stage.)

- b. Specify the sampling method (simple random, systematic, or probability proportional to size sampling) for each stage of sampling and describe how the method(s) is (are) implemented.

9. Provide the following information about determining the Synar Sample.

- a. Was the Synar Survey Estimation System (SSES) used to calculate the sample size?

Yes (Respond to part b.)

No (Respond to part c and Question 10c.)

- b. SSES Sample Size Calculator used?

State Level (Respond to Question 10a.)

Stratum Level (Respond to Question 10a and 10b.)

- c. Provide the formulas for determining the effective, target, and original outlet sample sizes.

10. Provide the following information about sample size calculations for the current FFY Synar survey.

- a. If the state uses the sample size formulas embedded in the SSES Sample Size Calculator to calculate the state level sample size, please provide the following information:

**Inputs for Effective Sample Size:**

RVR:

Frame Size:

**Input for Target Sample Size:**

Design Effect:

**Inputs for Original Sample Size:**

Safety Margin:

Accuracy (Eligibility) Rate:

Completion Rate:

- b. If the state uses the sample size formulas embedded in the SSES Sample Size Calculator to calculate the stratum level sample sizes, please provide the stratum level information:

- c. **If the state does not use the sample size formulas embedded in the SSES Sample Size Calculator, please provide all inputs required to calculate the effective, target, and original sample sizes as indicated in Question 9.**

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## APPENDIX C: SYNAR SURVEY INSPECTION PROTOCOL

State: Vermont

FFY: 2016

*Note: Upload to WebBGAS a copy of the Synar inspection form under the heading "Synar Inspection Form" and a copy of the protocol used to train inspection teams on conducting and reporting the results of the Synar inspections under the heading "Synar Inspection Protocol."*

### 1. How does the state Synar survey protocol address the following?

#### a. Consummated buy attempts?

- Required  
 Permitted under specified circumstances (Describe: \_\_\_\_\_ )  
 Not permitted

#### b. Youth inspectors to carry ID?

- Required  
 Permitted under specified circumstances (Describe: \_\_\_\_\_ )  
 Not permitted

#### c. Adult inspectors to enter the outlet?

- Required  
 Permitted under specified circumstances (Describe: \_\_\_\_\_ )  
 Not permitted

#### d. Youth inspectors to be compensated?

- Required  
 Permitted under specified circumstances (Describe: \_\_\_\_\_ )  
 Not permitted

### 2. Identify the agency(ies) or entity(ies) that actually conduct the random, unannounced Synar inspections of tobacco outlets. (Check all that apply.)

- Law enforcement agency(ies)  
 State or local government agency(ies) other than law enforcement  
 Private contractor(s)  
 Other

List the agency name(s): Vermont Department of Liquor Control

3. Are Synar inspections combined with law enforcement efforts (i.e., do law enforcement representatives issue warnings or citations to retailers found in violation of the law at the time of the inspection)?

Always    Usually    Sometimes    Rarely    Never

4. Describe the type of tobacco products that are requested during Synar inspections.

a. What type of tobacco products are requested during the inspection?

Cigarettes  
 Small Cigars/Cigarillos  
 Smokeless Tobacco  
 Other

b. Describe the protocol for identifying what types of products and what brands of products are requested during an inspection.

Cigarettes are requested for purchase during inspections, and it is the investigator's discretion on what brand is requested during the inspection.

5. Describe the methods used to recruit, select, and train youth inspectors and adult supervisors.

Youth for the study were recruited by word of mouth through the Vermont Department of Liquor Control (DLC) investigators. Only youth who were 17 years of age were used in the study. No youth who was 17 years old and was willing to work in the study was turned down because of appearing "too old." The youth were trained by DLC inspectors before going out into the field. The youths were required to read through the procedures and sign them prior to starting an inspection.

6. Are there specific legal or procedural requirements instituted by the state to address the issue of youth inspectors' immunity when conducting inspections?

a. Legal

Yes    No

*(If Yes, please describe.)*

Please see attached "Procedures for Tobacco Purchase Compliance Survey"

b. Procedural

Yes    No

*(If Yes, please describe.)*

Please see attached "Procedures for Tobacco Purchase Compliance Survey"

7. Are there specific legal or procedural requirements instituted by the state to address the issue of the safety of youth inspectors during all aspects of the Synar inspection process?

**a. Legal**

Yes  No

*(If Yes, please describe.)*

**b. Procedural**

Yes  No

*(If Yes, please describe.)*

Investigator is required to accompany the minor into the establishment as a witness to verify the events taking place and also to assist in case the minor is threatened in any way.

**8. Are there any other legal or procedural requirements the state has regarding how inspections are to be conducted (e.g., age of youth inspector, time of inspections, training that must occur)?**

**a. Legal**

Yes  No

*(If Yes, please describe.)*

**b. Procedural**

Yes  No

*(If Yes, please describe.)*

Youth inspector required to be 17 years of age, and training is required prior to inspection.

# APPENDIX D: LIST SAMPLING FRAME COVERAGE STUDY

(LIST FRAME ONLY)

State: Vermont  
FFY: 2016

1. Calendar year of the coverage study: n/a
2.
  - a. Unweighted percent coverage found: n/a%
  - b. Weighted percent coverage found: n/a%
  - c. Number of outlets found through canvassing: n/a
  - d. Number of outlets matched on the list frame: n/a
3.
  - a. Describe how areas were defined. (e.g., census tracts, counties, etc.)

Per CSAP approval, Vermont has a coverage study waiver.

- b. Were any areas of the state excluded from sampling?

Yes  No

*If Yes, please explain.*

4. Please answer the following questions about the selection of canvassing areas.

- a. Which category below best describes the sample design? (Check only one.)

Census (Go to Question 6.)

**Unstratified statewide sample:**

- Simple random sample (Respond to Part b.)
- Systematic random sample (Respond to Part b.)
- Single-stage cluster sample (Respond to Parts b and d.)
- Multistage cluster sample (Respond to Parts b and d.)

**Stratified sample:**

- Simple random sample (Respond to Parts b and c.)
- Systematic random sample (Respond to Parts b and c.)
- Single-stage cluster sample (Respond to Parts b, c, and d.)
- Multistage cluster sample (Respond to Parts b, c, and d.)
- Other (Please describe and respond to Part b.) \_\_\_\_\_

- b. Describe the sampling methods.

c. Provide a full description of the strata that were created.

d. Provide a full description of how clusters were formed.

5. Were borders of the selected areas clearly identified at the time of canvassing?

Yes  No

6. Were all sampled areas visited by canvassing teams?

Yes (*Go to Question 7.*)  No (*Respond to Parts a and b.*)

a. Was the subset of areas randomly chosen?

Yes  No

b. Describe how the subsample of visited areas was drawn. Include the number of areas sampled and the number of areas canvassed.

7. Were field observers provided with a detailed map of the canvassing areas?

Yes  No

*If No, describe the canvassing instructions given to the field observers.*

8. Were field observers instructed to find all outlets in the assigned area?

Yes  No

*If No, respond to Question 9.*

*If Yes, describe any instructions given to the field observers to ensure the entire area was canvassed, then go to Question 10.*

9. If a full canvassing was not conducted:

a. How many predetermined outlets were to be observed in each area? \_\_\_\_\_

b. What were the starting points for each area? \_\_\_\_\_

c. Were these starting points randomly chosen?

Yes  No

d. Describe the selection of the starting points.

- e. Please describe the canvassing instructions given to the field observers, including predetermined routes.

10. Describe the process field observers used to determine if an outlet sold tobacco.

11. Please provide the state's definition of "matches" or "mismatches" to the Synar sampling frame? (i.e., address, business name, business license number, etc).

12. Provide the calculation of the weighted percent coverage (if applicable).